

SAWS OVERSIGHT PROCESSES BINDER
RECORD OF CHANGE LOG – SECTION 14

SECTION NAME: Budget/Advance Planning Document Process
RESPONSIBLE PARTY: Linda Lawson – SAWS Administration Manager
BRIEF DESCRIPTION OF SECTION: This section describes the documents required for the processes supporting project approvals and budgeting. The relative responsibilities of the SAWS Financial and Administrative Services section and the Project Oversight section are also identified.

CHANGE LOG

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HHSDC SAWS Oversight Operations Guide

PROJECT APPROVAL AND BUDGET PROCESSES

SAWS Project activities are initiated based on project approval documents prepared for state and federal approval. The federal funding agencies require a process based on advance planning documents (APD). The specific application of this process includes Planning Advance Planning Documents (PAPD) to initiate planning activities and Implementation Advance Planning Documents (IAPD) to initiate development and implementation activities. The IAPD also includes maintenance and operations activities. This process requires annual and as needed updates to the approval documents using either a PAPD Update (PAPDU) or IAPD Update (IAPDU).

The requirements for state approval documents are prescribed in the State Information Management Manual (SIMM). The content requirements are similar to the federal APDs but are more prescriptive in format and different naming conventions are used. The state document process identifies Feasibility Study Reports (FSR) that are comparable to the federal IAPD and Special Project Reports that are comparable to the IAPDU. The state process does not have documents comparable to the federal PAPD or PAPDU.

To maximize consistency between the state and federal documents and reduce redundant workload, the state and federal control agencies have agreed to accept approval documents that reflect the requirements of both entities. SAWS Project approval documents reflect the federal APD naming conventions; however, the format and content of the APDs primarily reflect the state SIMM requirements. Draft guidelines for preparing the APDs, including minor variances between the state and federal versions, are addressed in the SAWS APD Handbook found in Appendix J.

Budget changes for the SAWS Project originate from the APDs. Individual Budget Change Proposals (BCP) are prepared to reflect the changes in the APDs for each of the SAWS consortia, SAWS state level projects, and other project initiatives as appropriate.

The SAWS Financial and Administrative Services section and SAWS Project Oversight section share responsibility for the project approval and budget processes. These processes continue to evolve as both the SAWS Project and the HHSDC Administrative Services Division refine and improve the processes so they will better meet the needs of the project and the state and federal control agencies.

The SAWS Financial and Administrative Services section is responsible for the following major activities:

- Develop internal calendar for APD and BCP preparation and review

HHSDC SAWS Oversight Operations Guide

- Meet with representatives of all project components to discuss possible changes and strategies
- Review and approve all APDs
- Prepare State Oversight APD
- Prepare all BCPs
- Serve as point of contact for the HHSDC Budget Office and program department fiscal staff
- Review and approve all responses to state and federal control agency questions
- Prepare or coordinate preparation of briefing materials for the APD and budget processes including budget hearings

The SAWS Project Oversight section is responsible for the following major activities:

- Coordinate preparation, review and revision of APDs between the consortia and the SAWS Financial and Administrative Services section
- Review and approve all APDs
- Coordinate APD approval by the program departments
- Coordinate APD approval by the federal control agencies
- Prepare and/or review responses to control agency questions
- Assist in the preparation of briefing materials for the APD and budget processes

The SAWS Financial and Administrative Services section and the SAWS Project Oversight section are engaged in continuous improvement relative to this process. Communication and coordination with the HHSDC Budget Office, the program departments and the control agencies is ongoing to facilitate process improvement.